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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 2000-0109

First Inventor Allen Louis GORIN, et al

Title METHOD AND SYSTEM FOR PREDICTING UNDERSTANDING  
ERRORS IN AUTOMATED DIALOG SYSTEMS

Express Mail Label No

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 6]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - c. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

☐ Cross Reference to Related Application included in Preliminary Amendment Attached Note A cross reference to related application(s) must be filed with the USPTO before four months from the filing date of this continuing application

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 23838 or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name

Address

City

Country

Name (Print/Type)

Ronald E. Prass, Jr.

Registration No. (Attorney/Agent)

42,089

Signature

*Ronald E. Prass, Jr.*

Date

Jan. 22, 2001

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision

Complete if Known

Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Allen Louis GORIN, et al
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No	2000-0109

TOTAL AMOUNT OF PAYMENT (\$ ) 782.00

09/765444  
01/22/01

<b>METHOD OF PAYMENT (check one)</b>		<b>FEE CALCULATION (continued)</b>	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to		<b>3. ADDITIONAL FEES</b>	
Deposit Account Number: 11-0600		Large Entity Small Entity Fee Code Fee (\$) Fee Code Fee (\$)	
Deposit Account Name: Kenyon & Kenyon		105 130 205 65 Surcharge - late filing fee or oath	
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		127 50 227 25 Surcharge - late provisional filing fee or cover sheet	
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		139 130 139 130 Non-English specification	
2. <input type="checkbox"/> Payment Enclosed:		147 2,520 147 2,520 For filing a request for reexamination	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		112 920* 112 920* Requesting publication of SIR prior to Examiner action	
<b>FEE CALCULATION</b>		113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	
1. BASIC FILING FEE		115 110 215 55 Extension for reply within first month	
Large Entity Small Entity		116 380 216 190 Extension for reply within second month	
Fee Code Fee (\$) Fee Code Fee (\$)		117 870 217 435 Extension for reply within third month	
101 690 201 345 Utility filing fee		118 1,360 218 680 Extension for reply within fourth month	
106 310 206 155 Design filing fee		128 1,850 228 925 Extension for reply within fifth month	
107 480 207 240 Plant filing fee		119 300 219 150 Notice of Appeal	
108 690 208 345 Reissue filing fee		120 300 220 150 Filing a brief in support of an appeal	
114 150 214 75 Provisional filing fee		121 260 221 130 Request for oral hearing	
SUBTOTAL (1) (\$ ) 710		138 1,510 138 1,510 Petition to institute a public use proceeding	
2. EXTRA CLAIM FEES		140 110 240 55 Petition to revive - unavoidable	
Total Claims 28 -20** = 8		141 1,210 241 605 Petition to revive - unintentional	
Independent Claims 3 -3** = 0		142 1,210 242 605 Utility issue fee (or reissue)	
Multiple Dependent X 130 =		143 430 243 215 Design issue fee	
**or number previously paid, if greater; For Reissues, see below		144 580 244 290 Plant issue fee	
Large Entity Small Entity		122 130 122 130 Petitions to the Commissioner	
Fee Code Fee (\$) Fee Code Fee (\$)		123 50 123 50 Petitions related to provisional applications	
103 18 203 9 Claims in excess of 20		126 240 126 240 Submission of Information Disclosure Stmt	
102 78 202 39 Independent claims in excess of 3		581 40 581 40 Recording each patent assignment per property (times number of properties)	
104 260 204 130 Multiple dependent claim, if not paid		146 690 246 345 Filing a submission after final rejection (37 CFR § 1.129(a))	
109 78 209 39 ** Reissue independent claims over original patent		149 690 249 345 For each additional invention to be examined (37 CFR § 1.129(b))	
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		179 690 279 345 Request for Continued Examination (RCE)	
SUBTOTAL (2) (\$ ) 72		169 900 169 900 Request for expedited examination of a design application	
		Other fee (specify)	
		*Reduced by Basic Filing Fee Paid	
		SUBTOTAL (3) (\$ ) 0	

## SUBMITTED BY

Name (Print/Type)	Ronald E. Prass, Jr.	Registration No. Attorney/Agent)	42,089	Telephone	202-220-4200
Signature				Date	January 22, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	GORIN, Allen Louis, et al.
	Title	METHOD AND SYSTEM FOR PREDICTING UNDERSTANDING ERRORS IN AUTOMATED DIALOG SYSTEM
	Atty Docket Number	2685/5613 - 2000-0109

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

22 JAN 01

Date



Signature

Ronald E. Prass, Jr. - 42,089

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231